

**ADMINISTRATIVE PROCEEDING  
BEFORE THE  
SECURITIES COMMISSIONER OF SOUTH CAROLINA**

**IN THE MATTER OF:** )  
 )  
**Kim Dee Isaacson,** )  
**CRD No. 855618,** )  
 )  
**Respondent.** )  
\_\_\_\_\_ )

**ADMINISTRATIVE ORDER  
Matter No. 17045**

**WHEREAS,** Kim Dee Isaacson, CRD No. 855618 (the “Respondent”), is a broker-dealer agent associated with Ameriprise Financial Services, Inc., CRD No. 6363 (“AFS”), and has been registered with the Securities Division of the Office of the Attorney General of South Carolina pursuant to S.C. Code Ann. § 35-1-402 since February of 2014; and

**WHEREAS,** the Financial Industry Regulatory Authority (“FINRA”) is a self-regulatory organization, and, between 1978 and 2017, the Respondent has been associated with multiple members of FINRA, currently with AFS; and

**WHEREAS,** on July 25, 2017, FINRA, after providing the Respondent with notice and opportunity for a hearing under Disciplinary Proceeding No. 2014040199101, barred the Respondent from associating with any FINRA member in any capacity; and

**WHEREAS,** the Securities Commissioner of the State of South Carolina (the “Securities Commissioner”) has jurisdiction over this matter pursuant to S.C. Code Ann. § 35-1-601(a); and

**WHEREAS,** S.C. Code Ann. § 35-1-412(b) authorizes the Securities Commissioner to issue an order revoking, suspending, conditioning, or limiting the registration of a registrant if the Commissioner finds that the order is in the public interest and subsection (d) of S.C. Code Ann. § 35-1-412 authorizes the action; and

**WHEREAS,** S.C. Code Ann. § 35-1-412(c) authorizes the Securities Commissioner to issue an order censuring, barring, or imposing a civil penalty in an amount not to exceed \$10,000 for each violation, on a registrant, if the Commissioner finds that the order is in the public interest and subsection (d) of S.C. Code Ann. § 35-1-412 authorizes the action; and

**WHEREAS**, S.C. Code Ann. § 35-1-412(d)(5)(C) states that a person who is the subject of an order, issued after notice and opportunity for hearing [by] the Securities and Exchange Commission or a self-regulatory organization, suspending or expelling the registrant from membership in the self-regulatory organization is subject to discipline pursuant to S.C. Code Ann. §§ 35-1-412(a), (b), and (c); and

**WHEREAS**, FINRA, a self-regulatory organization, barred the Respondent from associating with any FINRA member in any capacity; and

**WHEREAS**, it is necessary and appropriate, in the public interest, for the protection of investors, and consistent with the purposes fairly intended by the policy and provisions of the South Carolina Uniform Securities Act, S.C. Code Ann. § 35-1-101, *et seq.*, to permanently bar the Respondent from the securities business in the State of South Carolina.

**NOW THEREFORE**, it is hereby **ORDERED** that the Respondent is **PERMANENTLY BARRED** from the securities business in the State of South Carolina; and

**IT IS FURTHER ORDERED** that the Respondent's failure to file a written answer, including any request for a hearing, within thirty (30) days from the date of this Order, shall be deemed a waiver by the Respondent of the right to a hearing and shall result in this Order becoming final as to the Respondent by operation of law.

**ENTERED**, this the 9<sup>th</sup> day of August, 2017.

ALAN WILSON  
SECURITIES COMMISSIONER

By:   
TRACY A. MEYERS  
Deputy Securities Commissioner

**ISSUANCE REQUESTED BY:**

  
IAN P. WESCHLER  
Assistant Attorney General  
Securities Division  
Rembert C. Dennis Building  
1000 Assembly Street  
Columbia, South Carolina 29201

STATE OF SOUTH CAROLINA  
OFFICE OF THE ATTORNEY GENERAL  
SECURITIES DIVISION

CERTIFICATE OF SERVICE AND  
AFFIDAVIT OF COMPLIANCE

File Number 17045

I hereby certify that I served upon the individual/entity listed below a copy of the document indicated below and dated August 9, 2017, by serving a copy of said document upon the Securities Commissioner of the State of South Carolina and by placing a copy of said document in the United States mail, certified mail, return receipt requested, first class postage prepaid and addressed to:

Kim Dee Isaacson  
833 Royal Oak Court  
Farmington, UT 84025

Document(s): Administrative Order

Mailed August 9, 2017 from Columbia, South Carolina.

I further hereby certify, swear and affirm that, service of the above-listed entity is in compliance with Section 35-1-611, Code of Laws of South Carolina.

By: *Lisa Lomas*  
Lisa Lomas  
South Carolina Attorney General's Office  
Securities Division  
Post Office Box 11549  
Columbia, SC 29211-1549  
(803) 734-9936

Subscribed and sworn to before me on  
this 9<sup>th</sup> day of AUGUST, 2017.

*Lemo Stotka Church*  
Notary Public for South Carolina

My commission expires: 3-10-18

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